

1c862 U.S. PTO  
06/22/01

06-2586

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |  |
|------------------------|--|
| Attorney Docket No.    | 9138-60  |
| First Inventor         | Doak   |
| Title                  | Method & Apparatus.....Semiconductor Substrate |
| Express Mail Label No. | ET527823287US                                  |

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 24]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages ]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: .....

Prior application information:


Examiner .....

Group Art Unit: .....

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

|   |         |   |              |
|---|---------|---|--------------|
| <input type="checkbox"/> Customer Number or Bar Code Label<br>(Insert Customer No. or Attach bar code label here) | or      | <input type="checkbox"/> Correspondence address below |              |
| Name<br>Thomas D. MacBlain<br>Gallagher & Kennedy<br>2575 E. Camelback Road                                       |         |   |              |
| Address   | City    | State   | Zip Code     |
| Phoenix   | Arizona | 85016   |              |
| Country   | USA     | Telephone   | Fax          |
|   |         | 602-530-8088  | 602-530-8500 |

|                   |   |                                   |          |
|-------------------|---|-----------------------------------|----------|
| Name (Print/Type) | Thomas D. MacBlain  | Registration No. (Attorney/Agent) | 24,583   |
| Signature         |  | Date                              | 06/22/01 |

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*Patent fees are subject to annual revision.*

|                                |             |            |
|--------------------------------|-------------|------------|
| <b>TOTAL AMOUNT OF PAYMENT</b> | <b>(\$)</b> | <b>938</b> |
|--------------------------------|-------------|------------|

**Complete if Known**

|                      |         |
|----------------------|---------|
| Application Number   |         |
| Filing Date          |         |
| First Named Inventor | Doak    |
| Examiner Name        |         |
| Group Art Unit       |         |
| Attorney Docket No.  | 9138-60 |

#### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

|                              |                     |
|------------------------------|---------------------|
| Deposit<br>Account<br>Number | 070135              |
| Deposit<br>Account<br>Name   | Gallagher & Kennedy |

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:  
☒ Check ☐ Credit card ☐ Money Order ☐ Other

### FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |                        |          |
| 101          | 710      | 201          | 355      | Utility filing fee     | 355      |
| 106          | 320      | 206          | 160      | Design filing fee      |          |
| 107          | 490      | 207          | 245      | Plant filing fee       |          |
| 108          | 710      | 208          | 355      | Reissue filing fee     |          |
| 114          | 150      | 214          | 75       | Provisional filing fee |          |

|                     |                 |
|---------------------|-----------------|
| <b>SUBTOTAL (1)</b> | <b>(\$)</b> 355 |
|---------------------|-----------------|

## 2. EXTRA CLAIM FEES

|                    |    | Extra Claims |    | Fee from<br>below | Fee Paid |
|--------------------|----|--------------|----|-------------------|----------|
| Total Claims       | 52 | -20** =      | 32 | 9                 | = 288    |
| Independent Claims | 7  | -3** =       | 4  | 40                | = 160    |
| Multiple Dependent |    |              |    | 135               | = 135    |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                     |
| 102          | 80       | 202          | 40       | Independent claims in excess of 3                          |
| 104          | 270      | 204          | 135      | Multiple dependent claim, if not paid                      |
| 109          | 80       | 209          | 40       | ** Reissue independent claims over original patent         |
| 110          | 18       | 210          | 9        | ** Reissue claims in excess of 20 and over original patent |

|              |      |     |
|--------------|------|-----|
| SUBTOTAL (2) | (\$) | 583 |
|--------------|------|-----|

\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)

### 3. ADDITIONAL FEES

| Fee Code | Large Entity Fee (\$) | Small Entity Fee (\$) | Fee Description | Fee Paid   |  |
|----------|-----------------------|-----------------------|-----------------|--|--|
| 105      | 130                   | 205                   | 65              | Surcharge - late filing fee or oath  |  |
| 127      | 50                    | 227                   | 25              | Surcharge - late provisional filing fee or cover sheet                     |  |
| 139      | 130                   | 139                   | 130             | Non-English specification  |  |
| 147      | 2,520                 | 147                   | 2,520           | For filing a request for <i>ex parte</i> reexamination                     |  |
| 112      | 920*                  | 112                   | 920*            | Requesting publication of SIR prior to Examiner action                     |  |
| 113      | 1,840*                | 113                   | 1,840*          | Requesting publication of SIR after Examiner action                        |  |
| 115      | 110                   | 215                   | 55              | Extension for reply within first month                                     |  |
| 116      | 390                   | 216                   | 195             | Extension for reply within second month                                    |  |
| 117      | 890                   | 217                   | 445             | Extension for reply within third month                                     |  |
| 118      | 1,390                 | 218                   | 695             | Extension for reply within fourth month                                    |  |
| 128      | 1,890                 | 228                   | 945             | Extension for reply within fifth month                                     |  |
| 119      | 310                   | 219                   | 155             | Notice of Appeal   |  |
| 120      | 310                   | 220                   | 155             | Filing a brief in support of an appeal                                     |  |
| 121      | 270                   | 221                   | 135             | Request for oral hearing   |  |
| 138      | 1,510                 | 138                   | 1,510           | Petition to institute a public use proceeding                              |  |
| 140      | 110                   | 240                   | 55              | Petition to revive - unavoidable   |  |
| 141      | 1,240                 | 241                   | 620             | Petition to revive - unintentional   |  |
| 142      | 1,240                 | 242                   | 620             | Utility issue fee (or reissue)   |  |
| 143      | 440                   | 243                   | 220             | Design issue fee   |  |
| 144      | 600                   | 244                   | 300             | Plant issue fee  |  |
| 122      | 130                   | 122                   | 130             | Petitions to the Commissioner  |  |
| 123      | 50                    | 123                   | 50              | Processing fee under 37 CFR 1.17(q)  |  |
| 126      | 180                   | 126                   | 180             | Submission of Information Disclosure Stmt                                  |  |
| 581      | 40                    | 581                   | 40              | Recording each patent assignment per property (times number of properties) |  |
| 146      | 710                   | 246                   | 355             | Filing a submission after final rejection (37 CFR § 1.129(a))              |  |
| 149      | 710                   | 249                   | 355             | For each additional invention to be examined (37 CFR § 1.129(b))           |  |
| 179      | 710                   | 279                   | 355             | Request for Continued Examination (RCE)                                    |  |
| 169      | 900                   | 169                   | 900             | Request for expedited examination of a design application                  |  |

Other fee (specify)

|                     |             |
|---------------------|-------------|
| <b>SUBTOTAL (3)</b> | <b>(\$)</b> |
|---------------------|-------------|

## SUBMITTED BY

|                   |                    |
|-------------------|--------------------|
| Name (Print/Type) | Thomas D. MacBlain |
|-------------------|--------------------|

|                                      |        |
|--------------------------------------|--------|
| Registration No.<br>(Attorney/Agent) | 24,583 |
|--------------------------------------|--------|

Complete (if applicable)

|           |              |
|-----------|--------------|
| Telephone | 602-530-8088 |
|-----------|--------------|

**Signature**

Date 06/22/2001

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D.C. 20231.

Bertha Woodward

Signature of Person Mailing Correspondence

Bertha Woodward

Typed or Printed Name of Person Mailing Correspondence

ET527823287US

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File No. 9138-60

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